

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**



Patent application

of \_\_\_\_\_  
Inventor(s)

for \_\_\_\_\_  
Title of Invention

**OR**

In re application of: Rajesh K. Saini et al.

Application No.: 10 / 736,339

Group Art Unit: 1762

Filed: December 15, 2003

Examiner: Unknown

For: On-The Fly Coating Of Acid-Releasing Degradable Material Onto A Particulate

Commissioner for Patents

P.O. Box 1450

Alexandria, VA 22313-1450

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT  
WITHIN THREE MONTHS OF FILING OR  
BEFORE MAILING OF FIRST OFFICE ACTION (37 C.F.R. § 1.97(b))**

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Date: 6/7/05

Tammy Knight  
Signature

Tammy Knight

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\* Only the date of filing (§ 1.6) will be the date used in a patent term adjustment calculation, although the date on any certificate of mailing or transmission under § 1.8 continues to be taken into account in determining timeliness. See § 1.703(f). Consider "Express Mail Post Office to Addressee" (§ 1.10) or facsimile transmission (§ 1.6(d)) for the reply to be accorded the earliest possible filing date for patent term adjustment calculations.

(Transmittal of Information Disclosure Statement Within Three Months of Filing or Before Mailing of First Office Action [8-3]—page 1 of 3)

**NOTE: 37 C.F.R. 1.98(b):**

- (1) Each U.S. patent listed in an information disclosure statement must be identified by inventor, patent number, and issue date.
- (2) Each U.S. patent application publication listed in an information disclosure statement shall be identified by applicant, patent application publication number, and publication date.
- (3) Each U.S. application listed in an information disclosure statement must be identified by the inventor, application number, and filing date.
- (4) Each foreign patent or published foreign patent application listed in an information disclosure statement must be identified by the country or patent office which issued the patent or published the application, an appropriate document number, and the publication date indicated on the patent or published application.
- (5) Each publication listed in an information disclosure statement must be identified by publisher, author (if any), title, relevant pages of the publication, date, and place of publication.

**WARNING:** No extension of time can be had under 37 C.F.R. § 1.136 (a) or (b) for filing an IDS. 37 C.F.R. § 1.97(b).

**NOTE:** The "filing date of a national application" under 37 C.F.R. § 1.97(b) has two possible meanings. Where the filing is a direct one to the United States Patent & Trademark Office, the filing is defined in 37 C.F.R. § 1.53(b) as "the date on which: (1) A specification containing a description pursuant to § 1.71 and at least one claim pursuant to § 1.75; and (2) any drawing required by § 1.81(a), are filed in the Patent and Trademark Office in the name of the actual inventor or inventors as required by § 1.41." 37 C.F.R. § 1.97(b)(1). On the other hand, an international application that enters the national stage occurs when the applicant has filed the documents and fees required by 35 U.S.C. § 371(c) within the periods set forth in § 1.494 or § 1.495. 35 U.S.C. § 371(c) requires the filing of the following: (1) the basic national fee; (2) a copy of the international application, unless already sent by the International Bureau, and optionally an English translation if filed in another language; and, also optionally (3) amendments under PCT Article 19, with a translation into English if made in another language; (4) an oath or declaration; and (5) a translation into English of any annexes to the international preliminary examination report, if such annexes were made in another language. The optional items must be submitted later, with surcharges. 37 C.F.R. § 1.97(b)(2).

### **IDENTIFICATION OF TIME OF FILING THE ACCOMPANYING INFORMATION DISCLOSURE STATEMENT**

The information disclosure statement submitted herewith is being filed within three months of the filing date of the application or date of entry into the national stage of an international application or before the mailing date of a first Office action on the merits, whichever event occurs last. 37 C.F.R. § 1.97(b).

**NOTE:** "No certification or fee is due when the filing is made within the above time period. It is advisable to ensure that no Office action has been mailed if the disclosure statement is delayed until after three months from filing."

**NOTE:** "An information disclosure statement will be considered to have been filed on the day it was received in the Office, or on an earlier date of a mailing if accompanied by a properly executed certificate of mailing under 37 C.F.R. 1.8, or Express Mail certificate under 37 C.F.R. 1.10. An Office action is mailed on the date indicated in the Office action." Notice of April 20, 1992 (1138 O.G. 37-41, 39). See also § 609, M.P.E.P., 8th Edition.

**NOTE:** "The term 'national application' includes continuing applications (continuations, divisions, continuations-in-part) so three-months will be measured from the actual filing date of an application as opposed [sic] to the effective date of a continuing application." Notice of April 20, 1992 (1138 O.G. 37-41, 39).

**NOTE:** "An action on the merits means an action which treats the patentability of the claims in an application, as opposed to only formal or procedural requirements. An action on the merits would, for example, contain a rejection or indication of allowability of a claim or claims rather than just a restriction requirements (37 C.F.R. 1.142) or just a requirement for additional fees to have a claim considered (37 C.F.R. 1.161). Thus, if an application was filed on Jan. 1 and the first Office action on the merits was not mailed until six months later on July 1, the examiner would be required to consider any proper information disclosure statement filed prior to July 1." Notice of April 20, 1982 (1138 O.G. 37-41, 38).

**WARNING:** "A petition for suspension of action to allow applicant time to submit an information disclosure statement will be denied as failing to present good and sufficient reasons, since 37 C.F.R. § 1.97 provides adequate recourse for the timely submission of prior art for consideration by the examiner." Notice of July 6, 1982 (1141 O.G. 63). But see § 103(b) and (c), limited suspension of action in a continued prosecution application (CPA) filed under § 1.53(c) and in a request for continued examination (RCE) under § 1.114.

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(Transmittal of Information Disclosure Statement Within Three Months of Filing or Before Mailing of First Office Action [8-8]—page 3 of 3)



PATENT 2001-IP-005484U1P1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants:	Rajesh K. Saini et al.	)	
		)	Art Unit: 1762
Serial No.:	10/736,339	)	
		)	
Filed:	December 15, 2003	)	Examiner: Unknown
		)	
For:	On-The Fly Coating Of Acid-Releasing	)	
	Degradable Material Onto A Particulate	)	

**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**

COMMISSIONER FOR PATENTS  
Alexandria, VA 22313-1450

SIR:

The following documents are known to Applicants or Applicants' attorneys and are submitted for the Examiner to consider in the above-captioned application.

**U. S. PATENTS**

U.S. Patent Number 3,173,484 issued 03/16/1965 to Jimmie L. Huitt, et al;  
U.S. Patent Number 3,195,635 issued 07/20/1965 to Clarence R. Fast;  
U.S. Patent Number 3,302,719 issued 02/07/1967 to Paul W. Fischer;  
U.S. Patent Number 3,364,995 issued 01/23/1968 to Bobby L. Atkins, et al;  
U.S. Patent Number 3,366,178 issued 01/30/1968 to William T. Malone, et al;  
U.S. Patent Number 3,455,390 issued 07/15/1969 to J. P. Gallus;  
U.S. Patent Number 3,968,840 issued 07/13/1976 to Jack F. Tate;  
U.S. Patent Number 3,998,744 issued 12/21/1976 to Vernon W. Arnold, et al; and  
U.S. Patent Number 4,068,718 issued 01/17/1978 to Claude E. Cooke, Jr., et al.

### **FOREIGN PATENTS**

The foreign art contained in this supplemental information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three (3) months prior to the filing of the information disclosure statement.

International Publication Number WO 2004/007905 A1 published 01/22/2004 to Ralph Edmund Harris, et al;

International Publication Number WO 00/57022 published 09/28/2000 to Ralph Edmund Harris, et al;

International Publication Number WO 01/02698 A1 published 01/11/2001 to Ralph Edmund Harris, et al.

### **OTHER MATERIALS**

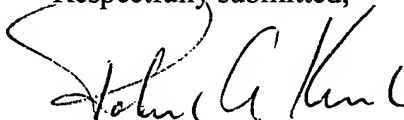
Y. Chiang, et al.: "Hydrolysis of Ortho Esters: Further Investigation of the Factors Which Control the Rate-Determining Step," **Engineering Information Inc., New York, NY**, Vol. 105, No. 23, (XP-002322842), November 16, 1983;

M. Ahmad, et al.: "Ortho Ester Hydrolysis: Direct Evidence for a Three-Stage Reaction Mechanism," **Engineering Information Inc., New York, NY**, Vol. 101, No. 10, (XP-002322843), May 9, 1979; and

Foreign communication from a related counterpart (International Application PCT/GB2004/005309, filed 12/17/2004), mailing dated 04/13/2005.

Copies of the aforementioned non-patent references and Form PTO-1449 are submitted  
herewith.

Respectfully submitted,

A handwritten signature in black ink, appearing to read "Robert A. Kent". The signature is fluid and cursive, with a large initial "R" and "K".

Robert A. Kent  
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PTO-1449  Information Disclosure in an Application	Application No. 10/736,339	Applicant(s):  RAJESH K. SAINI ET AL.	
	Docket Number 2001-IP-005484U1P1	Group Art Unit 1762	Filing Date December 15, 2003

#### U.S. PATENT DOCUMENTS

	DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE
1.	3,173,484	03/16/65	Huitt, et al.	166	280.1	09/02/58
2.	3,195,635	07/20/65	Fast	166	280.1	05/23/63
3.	3,302,719	02/07/67	Fischer	166	280.2	01/25/65
4.	3,364,995	01/23/68	Atkins, et al.	166	280.1	02/14/66
5.	3,366,178	01/30/68	Malone, et al.	166	280.1	09/10/65
6.	3,455,390	07/15/69	Gallus	166	295	12/03/65
7.	3,968,840	07/13/76	Tate	166	280.1	05/25/73
8.	3,998,744	12/21/76	Arnold, et al.	507	269	04/16/75
9.	4,068,718	01/17/78	Cooke, Jr., et al.	166	280.2	10/26/76

#### FOREIGN PATENT DOCUMENTS

	DOCUMENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO
1.	WO 2004/007905	01/22/04	PCT	E21B	43/27	X	
2.	WO 2000/57022	09/28/00	PCT	E21B	37/06	X	
3.	WO 2001/02698	01/11/01	PCT	E21B	43/27	X	

#### NON-PATENT DOCUMENTS

	DOCUMENT (Including Author, Title, Source, and Pertinent Pages)	DATE
1.	Y. CHIANG ET AL.: "HYDROLYSIS OF ORTHO ESTERS: FURTHER INVESTIGATION OF THE FACTORS WHICH CONTROL THE RATE-DETERMINING STEP," ENGINEERING INFORMATION INC., NY, NY, VOL. 105, No. 23 (XP-002322842)	11/16/83
2.	M. AHMAD, ET AL.: "ORTHO ESTER HYDROLYSIS: DIRECT EVIDENCE FOR A THREE-STAGE REACTION MECHANISM, "ENGINEERING INFORMATION INC., NY, NY, VOL . 101, No. 10 (XP-002322843)	05/09/79

EXAMINER	DATE CONSIDERED
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EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the applicant.